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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Dutta et al.**

Serial No.: **09/833,340**

Filed: **April 12, 2001**

For: **Method and Apparatus for  
Processing a Check within a Financial  
System**

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Group Art Unit: **3628**

Examiner: **Milef, Elda G.**

Attorney Docket No.: **AUS920010213US1**

Certificate of Mailing Under 37 C.F.R. § 1.8(a)  
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By: Louise Fay  
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**TRANSMITTAL DOCUMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:  
ENCLOSED HEREWITH:

- Supplemental Information Disclosure Statement;
- Form PTO-1449;
- References AA-AC; and
- Our return postcard.

No fees are believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 09-0447. No extension of time is believed to be necessary. If, however, an extension of time is required, the extension is requested, and I authorize the Commissioner to charge any fees for this extension to Deposit Account No. 09-0447.

Respectfully submitted,

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

**Dutta et al.**

Serial No: **09/833,340**

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Title: **Method and Apparatus for Processing  
a Check Within a Financial System**

Group Art Unit: **3628**

Intellectual Property  
Law Department  
International Business  
Machines Corporation  
11400 Burnet Road  
Austin, Texas 78758

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. 1.56.

While this Supplemental Information Disclosure Statement may be "material" pursuant to 37 C.F.R. 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

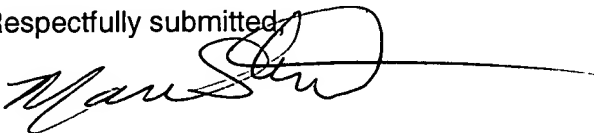
In accordance with 37 C.F.R. 1.97(g) the filing of this Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56 (b) exists.

The patents and/or publications submitted herewith are set forth on the attached form, PTO-1449.

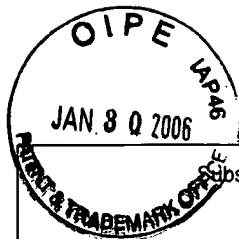
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No fee is believed to be required. In the event a fee is required in connection with the enclosed Supplemental Information Disclosure Statement, the Commissioner of Patents and Trademarks is authorized to charge Deposit Account No. 09-0447 for the necessary amount.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Mari Stewart", with a long horizontal line extending to the right.

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Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

### Complete if Known

Application Number	09/833,340
Filing Date	April 12, 2001
First Named Inventor	Dutta et al.
Examiner Name	Milef, Elda G.
Art Unit	3628
Attorney Docket No.	AUS920010213US1

Examiner Initials	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
AA	6,845,448 B1	Jan. 18, 2005	Chaganti et al.	
AB	6,654,797 B1	Nov. 25, 2003	Kamper	

### FOREIGN PATENT DOCUMENTS

Examiner Initial	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

### NON PATENT LITERATURE

Examiner Initial	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
AC	Kravitz, "SDML – Signed Document Markup Language", W3C Note, June 1998, pp. 1-36. <a href="http://www.w3.org/TR/1998/NOTE-SDML-19980619/">http://www.w3.org/TR/1998/NOTE-SDML-19980619/</a> , retrieved 12/ 21/05.

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